

10/559525

IAP9 Rec'd PCT/PTO 06 DEC 2009

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT**  
(Under 37 CFR 1.97(b) or 1.97(c))Docket No.  
DC5133PCT1

In Re Application Of: SHIM et. al

Application No.	Filing Date	Examiner	Customer No.	Group Art Unit	Confirmation No.
			00137		

Title: A Mechanical Inversion Process for Making Silicone Oil-in-Water Emulsions

Address to:  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450**37 CFR 1.97(b)**

1. ☒ The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application other than a continued prosecution application under 37 CFR 1.53(d); within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; before the mailing of a first Office Action on the merits, or before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.

**37 CFR 1.97(c)**

2. ☐ The Information Disclosure Statement submitted herewith is being filed after the period specified in 37 CFR 1.97(b), provided that the Information Disclosure Statement is filed before the mailing date of a Final Action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an Action that otherwise closes prosecution in the application, and is accompanied by one of:

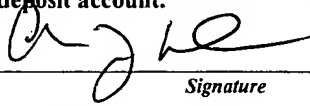
☐ the statement specified in 37 CFR 1.97(e);

OR

☐ the fee set forth in 37 CFR 1.17(p).

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Title: A Mechanical Inversion Process for Making Silicone Oil-in-Water Emulsions					
<b>Payment of Fee</b> (Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))					
<input type="checkbox"/> A check in the amount of _____ is attached. <input type="checkbox"/> The Director is hereby authorized to charge and credit Deposit Account No. 04-1520 as described below. <input type="checkbox"/> Charge the amount of _____ \$ <input type="checkbox"/> Credit any overpayment. <input type="checkbox"/> Charge any additional fee required. <input type="checkbox"/> Payment by credit card. Form PTO-2038 is attached.					
<b>WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.</b>					
<b>Certificate of Transmission by Facsimile*</b> I certify that this document and authorization to charge deposit account is being facsimile transmitted to the United States Patent and Trademark Office (Fax. No. _____) _____ (Date) _____ Signature _____ Typed or Printed Name of Person Signing Certificate			<b>Certificate of Mailing by First Class Mail</b> I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to "Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450" [37 CFR 1.8(a) <u>P2</u> ] _____ (Date) _____ Signature of Person Mailing Correspondence Christine M. Fitak _____ Typed or Printed Name of Person Mailing Certificate		
*This certificate may only be used if paying by deposit account. <div style="display: flex; justify-content: space-between;"> <div style="width: 45%;">             Signature         </div> <div style="width: 45%;">           Dated: 12-5-05             CustomerNumber 00137         </div> </div>					
Alan Zombeck 45,260 989-496-3101 Patent Agent Mail Number C01232 P.O. Box 994 2200 W. Salzburg Road Midland, MI 48686-0994 UNITED STATES OF AMERICA					
cc:					

Substitute for form 1449A/PTO

## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet 1

of 1

### Complete if Known

Application Number	
Filing Date	
First Named Inventor	SHIM
Art Unit	
Examiner Name	
Attorney Docket Number	DC5133 PCT1

### U. S. PATENT DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			
		US- 2,676,182	04-20-1954	Daudt, et. al.	
		US- 3,692,737	09-19-1972	Laur	
		US- 4,152,416	05-01-1979	Spitzer, et. al.	
		US- 4,310,678	01-12-1982	Blizzard, et. al.	
		US- 4,423,095	12-27-1983	Blizzard	
		US- 4,882,377	11-21-1989	Sweet, et. al.	
		US- 4,885,129	12-05-1989	Leonard, et. al.	
		US- 5,057,240	10-15-1991	Madore, et. al.	
		US- 5,356,585	10-18-1994	Romenesko	
		US- 5,654,362	08-05-1997	Schulz, et. al.	
		US- 5,994,459	11-30-1999	Berg, et. al.	
		US- 6,015,858	01-18-2000	Gomowicz	
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			

### FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (if known)				

Examiner  
Signature

Date  
Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional). 2 See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. 3 Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). 4 For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. 5 Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. 6 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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